

*Patricia Lewis*  
*#12/105+fee*  
PATENT

Attorney Docket No. 046700-5005

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*9-16-02*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Sam E. KINNEY, Jr. et al. :

Examiner: Alain Bashore

Application No.: 09/282,157 :

Group No.: 3624

Filed: March 31, 1999 :

For: METHOD AND SYSTEM FOR :  
CONDUCTING ELECTRONIC :  
AUCTIONS WITH MULTI- :  
PARAMETER PRICE :  
EQUALIZATION BIDDING :

**RECEIVED**

SEP 13 2002

**GROUP 3600**

**SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT PURSUANT TO 37 C.F.R. §§ 1.56 ET SEQ.**

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. § 1.97(c), Applicants bring to the attention of the Examiner the patents and other publications listed on the attached Form PTO-1449A (2 sheets), which may be material to the examination of the above-identified application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56. Applicants enclose herewith the requisite fee (\$180.00) as set forth in 37 C.F.R. § 1.17(p).

09/12/2002 KBERHE 00000105 500310 09282157  
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In compliance with 37 C.F.R. § 1.98(a), copies of the patents and other publications set forth below and listed on the attached Form PTO-1449A (2 sheets) are provided.

U.S. Patents

<u>Patent No.</u>	<u>Issue Date</u>	<u>Patentee</u>
3,863,060	1/28/75	Rode, et al.
4,597,045	6/24/86	Kiuchi
4,799,156	1/17/89	Shavit, et al.
5,629,982	5/13/97	Micali
5,799,285	8/25/98	Klingman
5,803,500	9/8/98	Mossberg
5,809,483	9/15/98	Broka, et al.
5,832,496	11/03/98	Anand, et al.
5,835,896	11/10/98	Fisher, et al.
5,862,223	1/19/99	Walker, et al.
5,897,621	4/27/99	Boesch, et al.
5,905,974	5/18/99	Fraser, et al.
5,905,975	5/18/99	Ausubel
5,915,209	6/22/99	Lawrence
5,966,699	10/12/99	Zandi
6,014,627	1/11/00	Togher, et al.
6,021,398	2/1/00	Ausubel

6,023,685	2/8/00	Brett, et al.
6,044,363	3/28/00	Mori, et al.
6,055,518	4/25/00	Franklin, et al.
6,058,379	5/2/00	Odom, et al.
6,061,663	5/9/00	Bloom, et al.
6,078,906	6/20/00	Huberman
6,119,229	9/12/00	Martinez, et al.
6,151,589	11/21/00	Aggarwal, et al.
6,161,099	12/12/00	Harrington, et al.
6,199,050	3/6/01	Alaia, et al.
6,266,652	07/24/01	Godin, et al.
6,366,891	4/2/2002	Feinberg

Foreign Patents

<u>Publication No.</u>	<u>Publication Date</u>	<u>Country</u>
0399850A	11/28/90	EP
WO 92/15174	9/3/92	WIPO
WO 98/34187	8/6/98	WIPO
WO 99/63461	12/9/99	WIPO
409101994A	4/97	JP
410078992A	3/98	JP

Other Publications

“BroadVision Developing First Interactive Commerce Management System To Support Online Sales & Marketing Process; New Software Category Necessary to Interactive Network Architecture”, Business Wire, p5150152, May 15, 1995

“FairMarket Launches New Self-Serve Auctions”, Business Wire, p6161495, June 16, 1998

Lee, “Do electronic marketplaces lower the price of goods?”, Communications of the PCM, v41n1 pp 73-80, January 1998

“Moai Technologies Introduces New categories of Business to Business Auction Software...”, Business Editors and Computer Writers, March 16, 1998

Kikuchi, et al., “Multi-Round Anonymous Auction Protocols”, IEICE Trans. Inf. & Syst., vol.E82-D, No.4, April 1999

“Online bidding software”, Electronic Buyers’ News, Issue 1072, p86, 1/6p, August 25, 1997

Sairamesh, et al., “Economic Framework for Pricing and Charging Digital Libraries”, D-Lip Magazine, February 1996

“Sold!...To the Lowest Bidder”, Computer Finance, v6, n2, July 1995

“Venture Capitalists Fund Two Massachusetts Internet Related Companies”, Boston Globe, January 14, 1998

Vigoroso, “Buyers prepare for brave new world of e-commerce”, Purchasing, v126, n6, pS4(1), April 22, 1999

Von der Fehr, et al., "Predatory bidding in sequential auctions", Oxford Economics Papers, v46, n3, p345(12), July 1994

"What you need to know to bid in FCC's narrowband auction", Washington Telecom News, v2, n26, p6(2), June 27, 1994

M. Reck, "Types of Electronic Auctions", Hochschule St. Gallen

C. Wrigley, "Design Criteria For Electronic Market Servers", Electronic Markets, vol.7, no.4, 1997

Wurman, et al., "The Michigan Internet AuctionBot: A Configurable Auction Server for Human and Software Agents", Artificial Intelligence Laboratory, University of Michigan, 1998

Applicants respectfully request that these items be considered by the Examiner, and that the Examiner acknowledge consideration of these references by initialing and returning copies of the enclosed Form PTO-1449A (2 sheets) with the next official action.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. §1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention or otherwise material to the patentability of this invention as defined in 37 C.F.R. § 1.56.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(b) exists.

**EXCEPT** for issue fees payable under 37 C.F.R. § 1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§ 1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account No. 50-0310. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. § 1.136(a)(3).

Respectfully submitted,

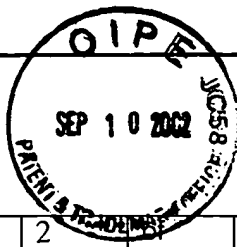
September 5, 2002  
Date

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Substitute for form 1449A/PTO			<b>Complete Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			<b>Application Number</b>	09/282,157	
			<b>Filing Date</b>	March 31, 1999	
			<b>First Named Inventor</b>	Kinney, Jr. et al.	
			<b>Group Art Unit</b>	3624	
			<b>Examiner Name</b>	Alain Bashore	
<b>Sheet</b>	1	of	2	<b>Attorney Docket Number</b>	046700-5005

U.S. PATENT DOCUMENTS				
Exr. Initials	U.S. Patent Document		Name of Inventor or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
	Number	Kind Code (if known)		
	3,863,060		Rode, et al.	1/28/75
	4,597,045		Kiuchi	6/24/86
	4,799,156		Shavit, et al.	1/17/89
	5,629,982		Micali	5/13/97
	5,799,285		Klingman	8/25/98
	5,803,500		Mossberg	9/8/98
	5,809,483		Broka, et al.	9/15/98
	5,832,496		Anand, et al.	11/3/89
	5,835,896		Fisher, et al.	11/10/98
	5,862,223		Walker, et al.	1/19/99
	5,897,621		Boesch, et al.	4/27/99
	5,905,974		Fraser, et al.	5/18/99
	5,905,975		Ausubel	5/18/99
	5,915,209		Lawrence	6/22/99
	5,966,699		Zandi	10/12/99
	6,014,627		Togher, et al.	1/11/00
	6,021,398		Ausubel	2/1/00
	6,023,685		Brett, et al.	2/8/00
	6,044,363		Mori, et al.	3/28/00
	6,055,518		Franklin, et al.	4/25/00
	6,058,379		Odom et al.	5/2/00
	6,061,663		Bloom, et al.	5/9/00
	6,078,906		Huberman	6/20/00
	6,119,229		Martinez, et al.	9/12/00
	6,151,589		Aggarwal, et. al.	11/21/00
	6,161,099		Harrington, et al.	12/12/00
	6,199,050		Alaia, et al.	3/6/01
	6,266,652		Godin, et al.	7/24/01
	6,366,891		Feinberg	4/2/02

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	Country Code	Number	Kind Code (if known)			
	EP	0399850A			11/28/90	
	WIPO	WO 92/15174			9/3/92	
	WIPO	WO 98/34187			8/6/98	
	WIPO	WO 99/63461			12/9/99	
	JP	409101994A			4/97	
	JP	410078992A			3/98	



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			Group Art Unit	3624
			Examiner Name	Alain Bashore
Sheet	2	2	Attorney Docket Number	046700-5005

#### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Exr Initials	Include Name of Author (in CAPITAL LETTERS), title of the article (where appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sub>1</sub>
	"BroadVision Developing First Interactive Commerce Management System To Support Online Sales & Marketing Process; New Software Category Necessary to Interactive Network Architecture", Business Wire, p5150152, May 15, 1995	
	"FairMarket Launches New Self-Serve Auctions", Business Wire, p6161495, June 16, 1998	
	Lee, "Do electronic Marketplaces lower the price of goods?", Communications of the PCM, v41n1 pp 73-80, Jan 1998	
	"Moai Technologies Introduces New categories of Business to Business Auction Software..", Business Editors and Computer writers, March 16, 1998	
	Kikuchi, et al., "Multi-Round Anonymous Auction Protocols", IEICE Trans. Inf. & Syst., vol.E82-D, No.4, April 1999	
	"Online bidding software", Electronic Buyers' News, Issue 1072, p86, 1/6p, August 25, 1997	
	Sairamesh, et al., "Economic Framework for Pricing and Charging Digital Libraries", D-Lip Magazine, February 1996	
	"Sold!...To the Lowest bidder", Computer Finance, v6, n2, July 1995	
	"Venture Capitalists Fund Two Massachusetts Internet Related Companies", Boston Globe, January 14, 1998	
	Vigoroso, "Buyers prepare for brave new world of e-commerce", Purchasing, v126, n6 pS4(1), April 22, 1999	
	Vond der Fehr, et al., "Predatory bidding in sequential auctions", Oxford Economics Papers, v46, n3, p345(12), July 1994	
	"What you need to bid in FCC's narrowband auction", Washington Telecom News, v2, n26, p6(2), June 27, 1994	
	M. Reck, "Types of Electronic Auctions", Hochschule St. Gallen	
	C. Wrigley, "Design Criteria For Electronic Market Servers", Electronic Markets, vol.7, no.4, 1997	
	Wurman, et al., "The Michigan AuctionBot: A Configurable Auction Server for Human and Software Agents", Artificial Intelligence Laboratory, University of Michigan, 1998	

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Examiner Signature		Date Considered	
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